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Substitute for form 1449A/PTO	Application Number	10/673,125	
Substitute for form 1 1 1 1 1 1 1	Filing Date	September 26, 2003	
INFORMATION DISCLOSURE	First Named Inventor	Robert Stanley Tull, Jr.	
STATEMENT BY APPLICANT	Art Unit	3676	
STATEMENT BY ALT EIGHT	Examiner Name		
(use as many sheets as necessary)			
Sheet 1 of 3	Attorney Docket Number	040173CONCONCONCON	
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		U.S	, PATENT DO	CUMENTS	
Examiner Initials*	Cite No.1	Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, When Relevant Passages or Relevan Figures Appear
	-	US-4.346.442	08-24-1982	Musmanno	
		US-4,376,978	03-15-1983	Musmanno	
		US-4,722,055	01-26-1988	Roberts	
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		US-6,092,056	07-18-2000	Tull, Jr. et al.	
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		FOREIGN F	ATENT DOC	JMENTS		_
Examiner Initials*	Cite No.1	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
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Under the Paperwork Reduction not of 161	of the parameter	Com	plete if Known
Substitute for form 1449A/PTO		Application Number	10/673,125
Substitute for form 1440/01 10		Filing Date	September 26, 2003
INFORMATION DISCL	OSURE	First Named Inventor	Robert Stanley Tull, Jr.
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STATEMENT BY ALL		Examiner Name	
(use as many sheets as ne	cessary)		
	of 3	Attorney Docket Number	040173CONCONCONCON
Sheet 2	JI J 3		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		United States Patent Application No. 08/223,797, filed April 6, 1994. (Attorney Docket No. 040173).	
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	1	MORGAN STANLEY, "OPALS," 11-page brochure.	
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		JOHN R. DORFMAN, "Master Limited Partnerships Regain Fans Thanks to Special Treatment of Payouts," <i>The Wall Street Journal</i> , August 19, 1993, p. C1, 2 pages.	
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Examiner	Considered	
Signature		

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Under the Paperwork Reduction Act of 1995, no persons are rec Complete if Known Application Number 10/673,125 Substitute for form 1449A/PTO Filing Date September 26, 2003 INFORMATION DISCLOSURE Robert Stanley Tull Jr. First Named Inventor STATEMENT BY APPLICANT Art Unit 3676 **Examiner Name** (use as many sheets as necessary) Attorney Docket Number 040173CONCONCONCON of Sheet 3

		NON PATENT LITERATURE DOCUMENTS	
Examiner nitials*	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, sympostum, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		MORGAN STANLEY CAPITAL (CAYMAN ISLANDS) LIMITED, "Optimised Portfolios As Listed Securities ("OPALS-SM") PROGRAMME, December 2, 1993, 27 pages.	
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		"Bundled Index Depository Securities (BIDS) Business Plan," February 1992, 52 pages.	
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		ERIC A. CHIAPPINELLI, "Reinventing A Security: Arguments For A Public Interest Definition," Washington & Lee Law Review, Vol. 49, n3, Summer 1992, pp. 957-985.	
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Commission	Date
Examiner	Considered
Signature	Considered

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